

**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**Declaration
Submitted
with Initial
Filing

OR

Declaration
Submitted after Initial
Filing (surcharge
(37 CFR 1.16 (e))
required)

Attorney Docket Number

AP33951

First Named Inventor

Shane Y. Hong

COMPLETE IF KNOWN

Application Number

10/058,575

Filing Date

1/28/2002

Group Art Unit

Examiner Name

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**METHOD AND SYSTEM FOR CONTROLLED SURFACE SCRATCH REMOVAL
AND GLASS RESURFACING**

(Title of the Invention)

the specification of which



is attached hereto

OR



was filed on (MM/DD/YYYY)

01/28/2002

as United States Application Number or PCT International

Application Number 10/058,575

and was amended on (MM/DD/YYYY)

(if applicable).

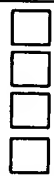
I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application
Number(s)

Country

Foreign Filing Date
(MM/DD/YYYY)Priority
Not ClaimedCertified Copy Attached?
YES NO

Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

DECLARATION — Utility or Design Patent Application**Claim for Benefit of Prior U.S. Provisional Application(s)**

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

Provisional Application Number	Filing Date
60/264,507	January 26, 2001

Claim for Benefit of Earlier U.S./PCT Application(s) under 35 U.S.C. 120

(complete this part only if this is a divisional, continuation or C-I-P application)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior application(s) in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

Application Number	Filing Date	Status (patented, pending, abandoned)

DECLARATION — Utility or Design Patent Application

Direct all correspondence to: <input checked="" type="checkbox"/>		Customer Number or Bar Code Label	21003	OR <input checked="" type="checkbox"/>	Correspondence address below	
Name						
Address						
City			State		ZIP	
Country		Telephone			Fax	
<small>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</small>						
NAME OF SOLE OR FIRST INVENTOR :				<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Shane Y. Given Name (first and middle [if any])				Hong Family Name or Surname		
Inventor's Signature <i>Shane Y. Hong</i>				Date <i>7/18/02</i>		
New York Residence: City		NY State		USA Country		Citizenship
Columbia University, 500 West 120th Street, 234 Mudd Mailing Address						
New York City		NY State		10027 ZIP		USA Country
NAME OF SECOND INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle [if any])				Family Name or Surname		
Inventor's Signature				Date		
Residence: City		State		Country		Citizenship
Mailing Address						
City		State		ZIP		Country
<input type="checkbox"/> Additional inventors are being named on the ____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.						



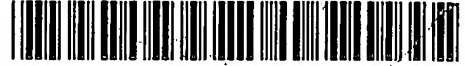
UNITED STATES
PATENT AND
TRADEMARK OFFICE

SEPTEMBER 26, 2002

PTAS

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov

BAKER BOTTS L.L.P.
JEFFREY D. SULLIVAN
30 ROCKEFELLER PLAZA-44 FL.
NEW YORK, NY 10112



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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/29/2002

REEL/FRAME: 013125/0918
NUMBER OF PAGES: 3

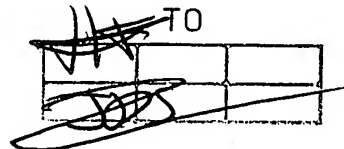
BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
HONG, SHANE Y.

BAKER BOTTS L.L.P.

DOC DATE: 07/18/2002 02:01:44 AM

ASSIGNEE:
TRUSTEES OF COLUMBIA UNIVERSITY IN
THE CITY OF NEW YORK, THE
500 WEST 120TH STREET, 234 MUDD
NEW YORK, NEW YORK 10027



SERIAL NUMBER: 10058575
PATENT NUMBER:

FILING DATE: 01/28/2002
ISSUE DATE:

SEDLEY PYNE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

07-31-2002

P33951

RECORDATION FORM COVER SHEET
PATENTS ONLY



102173676

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

<p>1. Name of conveying party(ies): Shane Y. Hong</p> <p>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>2. Name and address of receiving party(ies) Name: The Trustees of Columbia University In The City of New York</p> <p>Address: 500 West 120th Street 234 Mudd</p> <p>City: New York State: NY Zip: 10027</p> <p>Additional name(s) and address(es) attached? Country: US <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
<p>3. Nature of conveyance:</p> <p><input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name</p> <p><input type="checkbox"/> Other:</p> <p>Execution Date: July 18, 2002</p>	

4. Application number(s) or patent number(s) 10/058,575

If this document is being filed together with a new application, the execution date of the application is

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached?

☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name:

**BAKER BOTTS L.L.P.
30 Rockefeller Plaza - 44 Fl.
New York, NY 10112**

6. Total number of applications and patents involved: **1**

7. Total fee (37 CFR 3.41): **\$ 40.00**

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number :
02-4377. (Charge any additional fees to this account)
(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature

To the best of my knowledge and belief, the foregoing instrumentation is true and correct and any attached copy is a true copy of the original document.

Jeffrey D. Sullivan

Name of Person Signing

Jeffrey D. Sullivan

Signature

July 24, 2002

Date

Page 1 of 5

Total number of pages including cover sheet, attachments and document:

07/31/2002 LEXTEL 00000012 10058575

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FINANCE SECTION

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Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

10. Name of conveying party(ies):

11. Application number(s) or registration number(s):

A. Patent Application No.(s)

B. Patent Registration No.(s)

Page 2 of 5

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Mail documents to be recorded with required cover sheet information to:

**Commissioner of Patents and Trademarks
Box Assignments
Washington, DC 20231**

PATENT

ASSIGNMENT

WHEREAS, I, SHANE Y. HONG, citizen of U.S.A., whose post office address is Columbia University, 500 West 120th Street, 234 Mudd, New York, New York 10027, County of New York, have made an invention entitled "METHOD AND SYSTEM FOR CONTROLLED SURFACE SCRATCH REMOVAL AND GLASS RESURFACING" as set forth and described in U.S. Patent Application Serial No. 10/058,575 for Letters Patent filed January 28, 2002, and

WHEREAS, THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK (hereinafter "COLUMBIA"), having its principal place of business at 116th Street and Broadway, New York, New York 10027, is desirous of acquiring the whole right, title and interest in and to said application for Letters Patent, and any continuations, divisions, extensions, substitutions, reissues and reexaminations thereof;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, BE IT KNOWN, that I, the said SHANE Y. HONG, for and in consideration of the sum of One Dollar (\$1.00), lawful money of the United States, to us in hand paid by said COLUMBIA, and other valuable considerations unto me moving from said COLUMBIA, at or before the ensembling and delivery of these presents, the receipt of which is hereby acknowledged, have sold, assigned, transferred and conveyed and by these presents do sell, assign, transfer and convey, unto said COLUMBIA, its successors and assigns, the entire right, title and interest in and to the said invention as set forth and described in the specification forming a part of U.S. Patent Application Serial No. 10/058,575 for Letters Patent of the United States entitled "METHOD AND SYSTEM FOR CONTROLLED SURFACE SCRATCH REMOVAL AND GLASS RESURFACING" filed January 28, 2002, and any and all improvements thereon, and in and to said application and any division, continuation or continuation-in-part thereof, and in and to any Letters Patent of the United States which may be issued on any of said applications, and any reissues thereof, and in and to any and all applications for Letters Patent filed in foreign countries for said invention or improvements, including all priority rights under the Paris Convention, and any and all Letters Patent which may be granted in foreign countries therefor, TO HAVE AND TO HOLD THE SAME to the full end of the term or terms for which any and all said Letters Patent may be granted;

AND I, the said SHANE Y. HONG, do hereby authorize and request the Commissioner of Patents and Trademarks to issue the said Letters Patent of the United States to said COLUMBIA, as the assignee of the entire right, title and interest in and to the same, for the sole use and benefit of said COLUMBIA, its successors and assigns;

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PATENT

AND I, the said SHANE Y. HONG, for the considerations aforesaid, do hereby covenant and agree to and with said COLUMBIA, its successors and assigns, that I have the full power to make this assignment, and that the rights assigned are not encumbered by any grant, license or right heretofore given, and that I, our executors or administrators, shall and will do all lawful acts and things and make, execute and deliver without further compensation, any and all other instruments in writing, further applications, papers, affidavits, powers of attorney, assignments, and other documents which, in the opinion of counsel for said COLUMBIA, its successors and assigns, may be required or necessary to more effectively secure to and vest in said COLUMBIA, its successors and assigns, the entire right, title and interest in and to said invention and improvements, applications, Letters Patent, rights, benefits, privileges and advantages hereby sold, assigned, transferred and conveyed, and that I will sign any applications for reissue which may be desired by the owner of the patent or patents which may be issued for the said invention or improvements.

IN WITNESS WHEREOF, I, the said SHANE Y. HONG, have hereunto set my hand and seal on the date below written.

7/18/02
Date

Shane Y. Hong
SHANE Y. HONG

STATE OF NY)
: ss.:
COUNTY OF NY)

BE IT KNOWN, that on this 18th day of July, 2002, before me personally came SHANE Y. HONG, to me known and known to me to be the person mentioned in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed for the use and purposes therein mentioned.

AMY L. HABER
NOTARY PUBLIC, State of New York
No. 01HA5063858
Qualified in Queens County
Commission Expires July 29, 2005

Amy L. Haber
Notary Public